



PUBLIC NOTICE

FEDERAL COMMUNICATIONS COMMISSION
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Wireless Telecommunications Bureau Announces Availability of Electronic Filing of FCC Form 602

The Wireless Telecommunications Bureau (Bureau) announces beginning today, September 10, 2002, electronic filing of FCC Form 602, FCC Ownership Disclosure Information for the Wireless Telecommunications Services (Form 602 or ownership information) is available via its Universal Licensing System (ULS). Any filer that is subject to the ownership reporting requirements of Section 1.2112(a) of the Commission's rules must file a Form 602, or file an updated Form 602 if the ownership information on a previously filed Form 602 is not current, at the time it submits:

1. An initial application for authorization (FCC Form 601);
2. An application for license renewal (FCC Form 601);
3. An application for assignment of authorization or transfer of control (FCC Form 603); or
4. A notification of consummation of a pro forma assignment of authorization or transfer of control (FCC Form 603) under the Commission's forbearance procedures¹

The Bureau announced in a previous Public Notice that electronic filing would be available beginning September 10, 2002 and would become mandatory December 10, 2002.² During this three-month transition period, ownership information may be filed electronically or manually. However, all filers are strongly encouraged to submit ownership information electronically during the transition period to avoid the potential of having manual filings returned for lack of completeness or other errors.

This Public Notice addresses the following issues:

- Overview of electronic filing
- Overview of electronic query
- Procedures for manual filing during transition period
- Follow-up information

¹ 47 C.F.R. § 1.919.

² See "Wireless Telecommunications Bureau Announces Plans for Electronic Filing of FCC Form 602," *Public Notice*, DA 02-1644 (rel. July 11, 2002).

Overview of Electronic Filing

The following provides an overview of concepts regarding electronic filing. To obtain more detailed information, all filers are encouraged to review the online help files as well as attend ownership filing demonstrations, which will be provided at various times throughout the remaining months of 2002 and on an as-needed basis thereafter.

- To file ownership information electronically, access <http://wireless.fcc.gov/licensing/ownership> and click on the Online Filing link. The FCC Registration Number (FRN) and password of the filer is required to initiate an ownership filing.
- After providing information to identify the filer (*i.e.*, name and contact information), information regarding FCC-regulated businesses owned by the filer and/or disclosable interest holders and their FCC-regulated businesses may be provided, as necessary. An FRN, but not a password, is required to provide information for any individual or entity listed above.
- Exhibits can be uploaded, as necessary, using the Attachment link to explain/clarify ownership information.
- Ownership information can be printed at any time in the filing process using the Print Preview link, which provides a mirror image of the hard-copy Form 602.
- Ownership information can be submitted to the Commission by using the Submit button found at the bottom of various screens.
- Once ownership information is submitted to the Commission, a confirmation screen will appear that lists the filer's FRN and the date the filing was submitted. The filing will be available the next day for view by the public and Commission staff. Changes can be made to a filing the same day the filing is submitted to the Commission.
- Each ownership filing is linked to a specific FRN and associated with a specific date.
- If ownership information needs to be updated, the same FRN used to file previous information must be provided at the log in screen. Filers will have to provide the Commission only the information that has changed since the previous filing.
- All submissions of an ownership filing are maintained in chronological order in the electronic system by the date filed.
- There are several opportunities to reference other filer's information; however, this information must already be on file in the electronic filing system.
 1. If (A) has its own ownership filing (*i.e.*, A is listed as a filer) and is subsequently listed as a disclosable interest holder on another filer's ownership filing (B), A's FCC-regulated businesses may be automatically copied to B's filing.
 2. If a disclosable interest holder (Q) is listed on an ownership filing and subsequently listed on another filer's ownership filing (X) also as a disclosable interest holder, all of the information regarding Q, including its FCC-regulated businesses may be automatically copied to X's filing.
 3. If a disclosable interest holder (Y) is listed on an ownership filing (Z) and Y subsequently files its own ownership information (*i.e.*, as a filer) Y may automatically copy its FCC-regulated businesses from Z's filing to its own filing.

Overview of Electronic Query

The following provides an overview of the ownership information electronic query.

- Ownership information filed beginning September 10, 2002 can be searched by accessing <http://wireless.fcc.gov/licensing/ownership> and clicking on the Search link (Search for filings filed on/after 9/10/2002).
- Ownership information may be searched by the following criteria:
 1. FRN – The FRN provided will be searched across all ownership filings.
 2. Name – The name provided will be searched across all ownership filings. The name has an automatic wildcard at the end. For example, searching by the name “wire” would return results for both “wireless” and “wirecom.”
 3. File Number – The file number provided on a ULS application will be searched for the FRN associated with the filing. The FRN will then be searched across all ownership filings.
 4. Call Sign – The call sign provided for a license in ULS will be searched for the FRN associated with the license. The FRN will then be searched across all ownership filings.
 5. Date Filed – Ownership filings can be searched by a date range.
- Ownership information may also be searched by indicating one or more of the following:
 1. Name of Filer
 2. Name of FCC-Regulated Business of a Filer
 3. Name of Disclosable Interest Holder
 4. Name of FCC-Regulated Business of a Disclosable Interest Holder
- Ownership information filed prior to September 10, 2002 may still be searched by accessing <http://wireless.fcc.gov/licensing/ownership> and clicking on the Search link (Search for filings filed before 9/10/2002). These filings were scanned into Portable Document Format (PDF) and can be searched by name or date filed.³

Procedures for Manual Filing during Transition Period

The Bureau strongly encourages electronic filing during the transition period and notes that manual filing could result in delays and risk return as discussed below.

During the three-month transition period (*i.e.*, September 10, 2002 through December 9, 2002) before electronic filing becomes mandatory, ownership information may be submitted manually to the Commission’s Gettysburg, PA location. **The only version of Form 602 that will be accepted is the August 2002 version.**⁴ Upon receipt of a manual ownership filing, Commission staff will enter the

³ See “Electronic Access to the Ownership Disclosure Form, FCC Form 602, is Now Available,” *Public Notice*, DA 02-1030 (rel. May 8, 2002).

⁴ See “Wireless Telecommunications Bureau Announces Revised Version of FCC Form 602 is Now Available,” *Public Notice*, DA 02-2059 (rel. August 22, 2002). In this Public Notice, the Bureau indicated the August 2002

filing into the electronic filing system. Information on a manual filing must be complete and without errors in order for Commission staff to enter the filing into the electronic filing system. If a filing cannot be successfully entered into the electronic filing system, the filing will be returned to the contact listed on the filing along with a request to correct any errors prior to re-submitting the filing.

The following are some reasons why a manually submitted ownership filing may be returned:

- A version of Form 602, other than August 2002, is submitted.
- Form 602 is not signed.
- An FRN is invalid.
- An FRN is not provided for the filer, each entity listed on question 5 of the Main Form, each individual or entity listed on question 1 or 2 of Schedule A, or each entity listed on question 10 of Schedule A.
- Information is incorporated by reference to a previously filed Form 602. Because Commission staff will be inputting information on manually submitted filings into the electronic system, parties making manual filings during the transition period should not cross-reference information on a previously filed Form 602. For example, if a filing lists disclosable interest holder (A) it is not acceptable to provide information such as “See Form 602 of A for a list of A’s FCC-regulated businesses. A’s FCC-regulated businesses, and appropriate responses for each, must be provided on the specific filing.
- Information is not provided for each item required to be completed by the instructions. For example, the Percent of Interest Held must be provided as a number between 0 and 100. It is not acceptable to provide a response such as “See Exhibit A.” It may be appropriate, however, to provide a number between 0 and 100 and clarify the response in an exhibit.

The following responses and corresponding instructions to questions should be carefully reviewed prior to submitting a manual filing to the Commission:

- Question 5 on Schedule A: If the ownership interest is indirect, an exhibit explaining the ownership relationship from the indirect interest holder to the filer is required. One exhibit may be submitted to explain the relationship of more than one interest holder.
- Question 8 on Schedule A: Certain types of ownership interests require a follow-up response. These responses must be provided. For example, if the ownership interest is Common Stock, a response must be provided to also indicate whether the stock is voting, non-voting, or both.
- Other questions: Various questions allow for a response of Other to be provided. In these instances, the response must be clarified with an explanation of what Other means in the specific field. It is appropriate to indicate in the field “See Exhibit X” and attach and exhibit.

The following is acceptable to be submitted on a manual filing to the Commission:

- If a filing has a large number of FCC-regulated businesses, either for the filer or a disclosable interest holder, an exhibit may be provided in a spreadsheet or tabular format. The exhibit must provide ALL of the information required for question 5 of the Main Form or question 10 of Schedule A. Question numbers should be column headers. (This information will be entered into the electronic filing system). A separate exhibit must be submitted for the filer and each applicable

version of FCC Form 602 must be used beginning September 10, 2002.

disclosable interest holder. The exhibit must be clearly labeled. For instance, an appropriate label is “Exhibit A - FCC-regulated businesses for disclosable interest holder Z.” In this instance, a corresponding label must be provided on the manual form in field 10a) stating “See Exhibit A - FCC-regulated businesses for disclosable interest holder Z.”

Manually filed forms must be submitted to the following address:

U.S. Postal Service Delivery
Federal Communications Commission
1270 Fairfield Road
Gettysburg, PA 17325

Overnight Delivery Service or Hand Delivery
Federal Communications Commission
1120 Fairfield Road
Gettysburg, PA 17325

If a date-stamped copy of a filing is requested, a self-addressed, stamped envelope along with a copy of the filing is required.

Follow-Up Information

- The Bureau will release a revised Public Notice in the near future answering frequently asked questions concerning reporting of ownership information⁵
- The Bureau will release a Public Notice approximately 30 days prior to mandatory electronic filing taking effect in order to remind filers of the approaching date.

Additional Information and Assistance

FCC Technical Support Hotline: 202-414-1250 (TTY 202-414-1255), or via e-mail at ulscomm@fcc.gov. Contact the Technical Support Hotline about questions concerning computer access to ULS, uploading files, or submitting attachments in ULS. The hotline is available Monday through Friday, from 8 a.m. to 6 p.m. Eastern Standard Time (except federal holidays). In order to provide better service to ULS users and ensure the security of the electronic filing system, all calls to the hotline are recorded.

ULS Licensing Support and Forms Information: 1-888-CALLFCC (225-5322), select option #2 or 717-338-2888. E-mail questions may be sent to ulshelp@fcc.gov. Contact Licensing Support with questions about which application purpose(s) are appropriate for a particular filing, what information is being requested on a ULS form or schedule, or any other ULS-related licensing matter. ULS Licensing Support is available Monday through Friday, from 8:00 a.m. to 5:30 p.m. Eastern Standard Time (except federal holidays).

⁵ The Bureau release a Public Notice in 1999 answering frequently asked questions regarding ownership information. See “Wireless Telecommunications Bureau Answers Frequently Asked Questions Concerning Reporting of Information on FCC Form 602,” *Public Notice*, DA 99-1001 (rel. May 25, 1999).

